



Instructions for Form TCEQ-20397 Supplemental Environmental Project Third-Party Quarterly Report

2011 Instructions

12/09/2011

This document provides instruction for completing Form TCEQ-20397 Supplemental Environmental Projects Quarterly Report Form

2011-12-09

Table of Contents

Before You Begin.....	2
A Little About the Quarterly Report Format	2
WORKSHEET 1 - Accounting.....	4
WORKSHEET 2 – Activity Detail by Quarter	7
WORKSHEET 3 – DISPLAY ONLY-Financial Summary.....	7
WORKSHEET 4 – Quarterly Vehicle Activities	8

Before You Begin

Please read this instruction sheet all the way through to the end to be sure you understand how the worksheets function and what information you will need to enter.

Who must complete the form?

Any organization that has entered into an Agreement with TCEQ to receive Supplemental Environmental Project ("SEP") Funds where the Agreement has not been terminated by TCEQ, whether or not the organization has received a SEP contribution from a respondent in a TCEQ-related enforcement action.

Purpose

The Quarterly Report (QR) is a valuable tool and must be submitted by all SEP fund recipients, whether contributions have been received or not. Failure to do so may result in not being eligible for future funding. It is used by TCEQ staff to:

- Help identify whether SEP payments have been made by Respondents (contributors) to Third Party Administrators (fund recipients);
- Help ensure that SEP funds are spent on items that are allowable under the SEP program;
- Help staff prevent over funding of some SEPs, and prevent under funding of others;
- Help determine whether funds are being spent timely (within one year of the receipt of the funds);
- To separate, report, and verify the receipt and expenditures of SEP funds from other grant funds; and
- To clearly state project budgets and performance.

Where Do I Find the SEP Quarterly Report Form?

The form is on the SEP website at <http://www.tceq.texas.gov/legal/sep/forms.html>

A Little About the Quarterly Report Format

1. How Does It Work?

Basic information about the form: the Quarterly Report Form is in a Microsoft Excel workbook. You must have Excel in order to complete the report. The workbook contains spreadsheets (also called worksheets) that display information in columns and rows. Just as they sound, columns are aligned vertically and the column names are displayed horizontally

across the top of the document and rows are aligned horizontally and are named down the page from top to bottom along the far left side of the document. Column ranges are named with a letter, beginning with A, then B, then C, and so on. Rows are numbered sequentially 1, 2, 3, etc. down the left hand side of the worksheet. The resulting intersection of a column and row is called a "cell." The first cell in an Excel worksheet is at the top left corner and is named cell A1. If you move your cursor one space to the right from cell A1 you will be in cell B1. If you move your cursor one space down from A1 you will be in cell A2. This naming system allows the users to know where they are in the worksheet at all times. It is important to understand this in order to follow the instructions below.

2. What's in the Report Form?

As stated above, when you open the workbook you will see several worksheet tabs (three or four tabs depending on the type of SEP--vehicle projects will have a special report section included) near the bottom of your computer screen. The two main tabs are for accounting and reporting your SEP activities. You do not enter anything in the third DISPLAY ONLY worksheet. It is there to display accounting totals for your SEP. The worksheets are named as follows.

1. Accounting
2. Activity Detail by Quarter
3. DISPLAY ONLY Financial Summary (*informational only*)
4. Vehicle Report (depending on whether your project involves vehicles)

All worksheets are linked together and help summarize and report your SEP performance and financial information on a calendar year basis. The worksheets contain formulas that do this work for you. These cells have been write-protected to prevent them from working improperly.

3. When Are the Reports Due?

Reports are due 45 days after the performance quarter. The schedule is on a calendar year basis from January to December. For each project that is eligible to receive funding you will only use one workbook in a calendar year. **Each year, you will need to complete a new workbook and include updated bank information.**

The *report* due dates are

1. Quarter 1 – May 15
2. Quarter 2 – August 15
3. Quarter 3 – November 15
4. Quarter 4 – February 15

The *performance quarters* are

1. Quarter 1 - January 1 through March 31
2. Quarter 2 – April 1 through June 30
3. Quarter 3 – July 1 through September 30
4. Quarter 4 – October 1 through December 31

Help message reminders have been inserted throughout the worksheets to guide you as to when and where information should be entered. For assistance with the report contact TCEQ by phone at (512) 239-2223 or by electronic mail at either sharon.blue@tceq.texas.gov or sepreports@tceq.texas.gov.

WORKSHEET 1 - Accounting

1. Third Party Administrator and Project Information

This worksheet tab is titled **Accounting**. Your organization name, the project name, agreement number if applicable, and a starting budget will be filled out for you by TCEQ before you begin. A portable document format (pdf) copy of your SEP Agreement will also be embedded into the Report.

Figure 1 Administrator Section

	A	B	C	D
7	1. Administrator Information			
8	Administrator:	Preserve Texas Forever		
9	Project:	PTF Cleanup Projects		
10	Agreement No.	2011-111		
11	Budget:	\$ 50,000.00		
12	Region if applicable:	Winsome		
13	Contact Person Name:	Ima Gogetter		
14	Mailing Address:	1010 Easy Street		
15	City/State/Zip:	Beautiful, Texas 77777		
16	Telephone:	(777) 555-1212		
17	Email:	imagogetter@email.com		
18				
19				

SEP Agreement.pdf

What you do: Provide your contact information in the yellow-highlighted areas. If you have difficulty entering information in this worksheet, contact TCEQ for assistance by phone at (512) 239-2223 or by electronic mail at either sharon.blue@tceq.texas.gov or sepreports@tceq.texas.gov.

2. Bank Information

The Bank Information Section is used to show the Bank name, account number, and balances for your SEP account. Refer to Figure 2 Bank Information Section below.

Figure 2 Bank Section

	E	F	G	H
7	2. Bank Information			
8	Bank Name:	Trustmee Bank & Trust, Inc.		
9	Last four digits of bank account number:			1234
10	Carryover (January 1 bank account balance) =	\$	1,789.62	
11	Qtr 1 total interest accrued Jan + Feb + Mar =	\$	5.22	
12	Qtr 2 total interest accrued April + May + Jun =			
13	Qtr 3 total interest accrued Jul + Aug + Sep =	\$	-	
14	Qtr 4 total interest accrued Oct + Nov + Dec =	\$	-	
15	End bank balance =	\$	1,720.64	
16				
17	The schedule for submitting this report to TCEQ is listed below in the DUE DATES box			
18				
19				

What you need. You need your bank statement for the SEP bank account for the period ending each quarter January 1 to March 31 for Quarter 1, April 1 to June 30 for Quarter 2, etc. of the year being reported.

What you do. Step 1. Enter the bank name and last four digits of the bank account number in the areas highlighted in yellow as shown in the example in Figure 2 above. Step 2. Next enter the January 1 bank balance where it says "Carryover". Step 3. Enter the interest accrued in the 3-month period as shown in Figure 2 above.

3. Certification

You must certify the report by signing with an Electronic signature or your initials and provide a date for the certification. Refer to Figure 3 below.

Figure 3 Certification

QUARTER	E-SIGNATURE	E-SIGNATURE DATE	DUE DATES
E- signature Quarter 1:	✓ Jma Goetter	✓ 5/10/2011	by May 15
E- signature Quarter 2:	✓		by Aug 15
E- signature Quarter 3:	✓		by Nov 15
E- signature Quarter 4:	✓		by Feb 15

IMPORTANT NOTICE

By signing and submitting this form you agree that the stated expenses have been used for the purposes stated in this form and in accordance with bank statements, and other necessary documentation with the Quarterly Report may result in a deduction of allowable expenses.

- 1) Upon receipt of your first SEP contribution you must establish a separate interest-bearing bank account if SEP funds are received.
- 2) Allowable expenses must be paid directly from the SEP account. You cannot use the SEP Account to reimburse your organization.
- 3) Bank charges and other administrative costs are not allowable SEP expenses.
- 4) You must provide a report every quarter even if money is not yet received. Failure to report may result in ineligibility for future contributions.
- 5) You must enter a signature and date where indicated above and send this report quarterly to TCEQ.

4. Accounting

Things You Should Know. First, all expenses must be tied to contributions from specific docket numbers from TCEQ agreed orders. Therefore, you must know the agreed order docket number where the contribution originated in order to enter an expense in the quarterly report.

Second, expense (paid) dates for each calendar year must be between January 1 and December 31 of each year. **If you don't enter an expense (paid) date you will not be credited for the expense in the report.** Carefully check your report before submitting to make sure you have entered dates accurately.

Third, because the contributions will expire one year from the date you receive them, contributions should be spent on a First In/First Out (FIFO) basis. The carryover balance from any monies in your account on January 1 of each year should be spent first. The carryover balance is listed in Section 4.A of the Accounting worksheet (refer to Figure 4 below), which is where you will begin entering expenses if you had money in the SEP account on January 1. If you did not have money in the SEP account on January 1, proceed to Section 4.B, New Contributions.

Splitting an invoice. To split payment of an invoice between two SEP contribution docket numbers, first enter the invoice information as though it were not going to be split, and enter the amount from the first contribution that is being paid toward the invoice. The

worksheet will show a negative amount in the Invoice Balance column and the amount will be highlighted in green shading. To apply the remaining Invoice Balance to a second contribution docket number, enter the invoice information again in another contribution section, but the second time, list the Invoice Amount as \$0. Using this method will ensure that the total invoice amounts for the calendar year are accurate and are not overstated. Apply the remaining payment to this second contribution. Fig. 4 below shows the first half of a split invoice to Joe's Hauling and Disposal. Figure 5 shows the second half of the split invoice to Joe's Hauling and Disposal.

Figure 4 How to Split an Invoice - Part I

A	B	C	D	E	F	G	H	I
4. Accounting								
4.A. Carryover Balance								
Instructions: First enter your January 1 bank balance in Section 2 above. Then "spend" the SEP balance on a First In/First Out (FIFO) basis below. Once all of the Carryover funds are spent, proceed to the New Contributions area to enter. Please refer to Instruction Sheet for additional instructions, if needed.								
Preserve Texas Forever PTF Cleanup Projects								
To begin enter your bank information in Section 2 above			\$ 1,789.62	NOTE: (The carryover is your SEP bank account balance on January 1.)			Balance after expenses below \$ (1,019.00)	
Carryover Balance								
Billing and Payments Assigned to carryover - enter docket number at far right								
Payee Name	Invoice No.	Invoice Date	Invoice Amount	Description of Item	Paid Date	Check No.	Amt Expended	Invoice Balance
SqueakyClean Services	1569	01/02/11	\$ 465.00	Disposal costs for Oak St (Cobble Co) cleanup	01/02/11	1111	\$ 465.00	\$0.00
Joe's Hauling and Disposal	2635	02/10/11	\$ 1,450.00	Tire hauling/disposal - Rand St (Caliper Co)	02/10/11	1112	\$ 1,324.62	\$125.38
Caliper County	45689	02/10/11	\$ 1,687.00	Rand St tire cleanup event	02/10/11	1113	\$ 1,687.00	\$0.00
Caliper County	45689	04/04/11	\$ -	Refund of unspent funds for cleanup project	04/04/11	5693	\$ (668.00)	\$668.00
			\$ -				\$ -	\$0.00
			\$ -				\$ -	\$0.00
			\$ -				\$ -	\$0.00

Figure 5 How to Split an Invoice - Part II

4.B. New Contributions								
NEW CONTRIBUTIONS								
Instructions: Use all sections below to enter contributions received in this calendar year on a First In/First Out (FIFO) basis. Please refer to Instruction Sheet for additional instructions, if needed.								
Internal no. assigned to this contribution		2011-111	1	Preserve Texas Forever PTF Cleanup Projects				
NEW CONTRIBUTION:	Docket No.	Agreed Order Agenda Date	Date Money Recvd	Expenditure Due Date	Ext request? Y/N	New due date		Balance from this docket
Hunterville	2010-1542-WMD-E	02/22/11	02/25/11	February 25, 2012				\$2,734.62
Billing and Payments Assigned to this Docket								
Payee Name	Invoice No.	Invoice Date	Invoice Amount	Description of Item	Paid Date	Check No.	Amt Expended	Invoice Balance
Joe's Hauling and Disposal	2635	02/10/11	\$0.00	Balance of Invoice 2635	02/26/11	1114	\$ 125.38	(\$125.38)
								\$0.00
								\$0.00
								\$0.00
								\$0.00
								\$0.00
Refund information below			\$ -				\$ 125.38	(\$125.38)

You may notice that a positive number other than zero in the Invoice Balance column will be highlighted in green and a negative amount in the Invoice Balance column will be highlighted red. This is correct if you are splitting an invoice.

What you need: You need the SEP Attachment A and Agreed Order related to the contribution, and copies of invoices, receipts, and checks for payment of SEP expenses made between January 1 and December 31 of the report year.

What you do: Step 1 for new contributions. Enter the agreed order (Respondent, docket number, dates, and contribution) information where indicated in the green shaded areas for all contributions received on or after January 1. If you are unsure of an Agreed Order Agenda Date and you have the TCEQ Docket No. associated with the SEP contribution, you may locate the Agenda date of the Agreed Order by accessing the following website <http://www5.tceq.state.tx.us/eenf/>. If you have a contribution received and deposited in the previous year but it was not listed on last year's report, you will need to amend last year's

fourth quarter report to include that contribution. Step 2. Enter expenditure information in the yellow or green highlighted cells. (NOTE: You may list invoices for the preceding year's quarter beginning October 1 of the previous year as long as they were not claimed on the previous year's report).

NOTE: a Paid Date is required for each expense. If the Paid Date is not entered, you will not receive credit for the expense.

If you need more rows to enter expenses or if you have difficulty entering information in this worksheet, contact TCEQ for assistance by phone at (512) 239-2223 or by electronic mail at either sharon.blue@tceq.texas.gov or sepreports@tceq.texas.gov.

Step 3. If you returned any SEP funds to TCEQ during the performance quarter, enter the refund information in any refund section of the Accounting worksheet.

WORKSHEET 2 – Activity Detail by Quarter

SEP Activities Summaries

Activities for all four quarters will be entered in this worksheet. There is a box for each quarter where a brief summary can be written as shown in Figure 6 below.

What you do: Click inside the appropriate box and type brief comments about your activities for the quarter.

Figure 6 Activities Summary

Administrator and Project Information			
Performance Year:	2011	ACTIVITIES SUMMARY	Preserve Texas Forever
		PTF Cleanup Projects	
Reminders			
✓	Did you attach or mail copies of all checks, invoices, receipts, bank statements?	✓	Need more time?
✓	Did you attach or mail before/during/after photographs of the project?		Click here to request an extension of
✓	Did you transmit or mail bank statement summaries?		Click here to request an extension of
SEP Activities Summaries			
1	Quarter 1 Activities	Preserve Texas Forever	PTF Cleanup Projects
On February 2, 2011 we held a tire cleanup event in the City of Rand in Caliper Co.			

WORKSHEET 3 – DISPLAY ONLY-Financial Summary

What you do: Nothing! This page displays the information that has been entered for the project. If the administrator and budget information are not displayed in this worksheet contact TCEQ as noted above.

WORKSHEET 4 – Quarterly Vehicle Activities

Quarters 1–4 Vehicle Retrofit Activities

This report will only be included in your report form if your project involves retrofit or replacement of vehicles. This worksheet is used to track the number and type of retrofits and replacements performed, as shown in Figure 7 below.

What you need: The name of each school/organization that received reimbursement during the reporting quarter for qualified retrofits or replacements, the number and types of retrofits or replacements represented by the reimbursement during the performance period, and the date and amount of reimbursement.

What you do: Enter the action dates, receiving entity, number of bus activities by type and comments (if applicable).

Figure 7 Quarter 1 Detail Area for SEP-Funded Vehicle Activities

2011 REPORTING FORM FOR SEP VEHICLE RETROFIT OR REPLACEMENT ACTIVITIES											
Preserve Texas Forever				Vehicle Replacement Program							
QUARTER 1		Detail Area for SEP-Funded Vehicle Projects						Agreement			
Calendar Year		2011		Breakdown of Retrofit Activities				2011-111			
Vehicle Action Date	Reimbursement Date	Name of School or Receiving Entity	No. of Vehicles Retrofitted this Period	Diesel Partic Filters (DPF)	Diesel Oxid Catalysts (DOC)	Closed Crank Filter Syst (CCFS)	Partial Flow Thru Filter (FTF)	No. of Retrofits This Period	No. of repowers this period	No. of vehicle replaced this period	Comments
								0			
								0			
								0			
								0			
								0			

If you have difficulty with any section of the report contact TCEQ for assistance by phone at (512) 239-2223 or by electronic mail at either sepreports@tceq.texas.gov or sharon.blue@tceq.texas.gov.